



Express Mail No. EV048575834US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Attorney Docket No. 11184.00002)

**RECEIVED**  
**PATENT**  
**MAY 15 2002**  
**TECH CENTER 1600/2900**

In re Application of: )  
 )  
Smith et al. )  
 )  
Serial No.: 09/869,777 ) Before the Examiner (TBA)  
 )  
Filed: September 21, 2001 ) Group Art Unit: 1615  
 )  
For: Cryptate Compounds and Methods for )  
Diagnosis and Therapy )

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 C.F.R. SECTIONS 1.97 and 1.98**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. Sections 1.97 and 1.98, the Applicants wish to make the following references of record in the above-identified application. These references were cited in corresponding EP 0090 2480 in a Supplemental Partial European Search Report dated March 15, 2002 (courtesy copy enclosed). This Supplemental Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. Copies of the references cited below are enclosed. The references are also listed on the enclosed and completed PTO/SB/08A Form.

## REFERENCES

1. Behm C A et al.: Novel Cationic Surfactants Derived from Metal Ion-Cage Complexes: Potential Antiparasitic Agents, Australian Journal of Chemistry, vol. 48, No. 5, 1995, pages 1009-1030, XP000573096.
2. Yeh et al.: Synthesis and Characterization of Cobalt-Cage Complexes with Pendant Phenol Groups Inorg. Chem., vol. 35, 1996, pages 3828-3835, XP002191507.
3. Lawrence et al.: Organic Substituent Effects in Macrobicyclic (Hexaamine) cobalt (III/II) Complexes: A New Method of Obtaining Polar Substituent Constants, INORG. Chem., vol. 29, 1990, pages 4808-4816, XP001056887.
4. SKOV: Effect of Protonation on the Electronic Spectra of Some Cobalt (III) Cage Complexes, ACTA Chem. SCAND., vol. 46, No. 5 1992, pages 492-493, XP001056917.
5. Achilleos et al.: Synthesis and Characterization of Pendant Arm Encapsulated Complexes of Cobalt (III), AUST. J. CHEM. Vol. 42, No. 5, 1989, pages 649-657, XP001056874.

No representation is intended as to the relative importance of any portion of the references. This statement is not a representation that the listed references have an effective date early enough to be "prior art" within the meaning of 35 U.S.C. Sections 102 or 103.

In accordance with MPEP Sections 609 and 707.05(b) it is requested that the patents cited be given thorough consideration and that it be cited of record in the prosecution history of the present application by initialing on Form PTO/SB/08A, so that they will appear on the face of the patent issuing on the present application.

The present supplemental disclosure statement is being submitted in compliance with 37 CFR 1.56 as an Examiner might consider the cited patents important in deciding whether to allow the application to issue as a patent, but the citation of such patents is not be construed as an admission that such patents are necessarily relevant or prior art. No representation is intended that the cited patents represent the results of a complete search, and it is anticipated that the Examiner in the normal course of examination, will make an independent search and will determine the best prior art and in the course of such search will review for relevance the patents cited on the attached form even if not initialed.

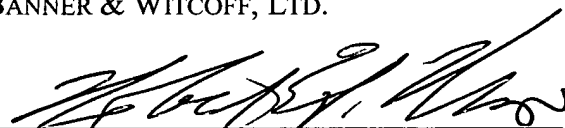
Early and favorable consideration is earnestly solicited.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: May 9, 2002

By:

  
Robert H. Resis  
Reg. No. 32,168

05-10-02

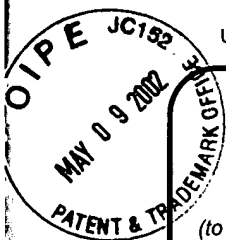
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/869,777

Filing Date September 21, 2001

First Named Inventor Smith et al.

Group Art Unit 1615

Examiner Name (TBA)

Total Number of Pages in This Submission

Attorney Docket Number 11184.00002

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1615  
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## ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

5 references, Int'l search Report  
Exp. Mail EV048575834US  
PTO/SB/08A form (1 pg)  
Return Receipt post card

Remarks

Please charge any additional fees or credit overpayment to Deposit Account No. 19-0733. A duplicate copy of this sheet is enclosed

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Banner & Witcoff, Ltd.  
Ten South Wacker Drive, Suite 3000  
Chicago, IL 60606  
Robert H. Resis (Reg. No. 32,168)

Signature

Date

May 9, 2002

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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: \_\_\_\_\_

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Date

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**CERTIFICATE OF MAILING  
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**Deposited May 9, 2002**

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By: \_\_\_\_\_

Patent Application of: Smith et al.

Title: Cryptate Compounds and Methods for Diagnosis and Therapy

Serial No.: 09/869,777

**Items Enclosed:**

1. Transmittal Letter in Duplicate
2. Information Disclosure Statement, 5 References
3. International Search Report, (4 pages)
4. 5 cited references + PTO/SP/8A
4. Return Receipt Post card

**Attorney Docket No.: 11184.00002**